



## THE OFFICE OF SECRETARY OF STATE SECURITIES & CHARITIES DIVISION

The mission of the Division is to protect Georgia investors by encouraging a safe and healthy financial services sector in the State of Georgia.

*Pursuant to O.C.G.A. § 10-5-35, the Georgia Commissioner of Securities requires a fingerprint background check for all applicants requesting registration as an investment adviser representative or broker-dealer agent.*

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The following instructions outline the steps to submit fingerprints to fulfill the background check requirement for investment adviser representative (RA) and broker-dealer agent (AG) applicants for the State of Georgia.

All RA applicants for Georgia registration are placed into the queue for manual review. The Division reviews all RA applicants through the manual review queue. If fingerprints are required for a RA applicant, the Division will issue a deficiency letter asking for fingerprints.

Georgia has a manual review for AG applicants who get flagged into the queue for a manual review. Conditions that trigger a manual review for an AG applicant include, but are not limited to, the existence of disclosure history or the lack of the required examination(s). The Division reviews all AG applicants who are in the manual review queue. If fingerprints are required for an AG applicant who is in the manual review queue, the Division will issue a deficiency letter asking for fingerprints.

### **I. Directions for GEMALTO COGENT/GAPS Registration Process For Applicants Using GEMALTO COGENT**

For applicants **without** fingerprints on file with FINRA, Georgia uses the Georgia Applicant Processing Service (GAPS), a service of GEMALTO COGENT, to complete the fingerprinting for the background check. **If you require assistance, you may contact GEMALTO COGENT/GAPS at 1-888-439-2512.**

**Applicants using GEMALTO COGENT/GAPS must register online prior to submitting any fingerprint cards.**

1. Visit the GAPS website at <https://www.aps.gemalto.com/ga/index.htm>;
2. Select Applicant Registration option;
3. Select Secretary of State (SOS) option;
4. Select Investment Advisor Rep/Agents/Dealers option;
5. An online application window shall appear, all of the fields in **yellow** must be completed;
6. At the top of the application, you will see a heading entitled **Transaction Information**. In this area you must enter the following:
  - a. Reviewing Agency ID: **GA922974Z**.
  - b. Reason: **Sec of State – Broker-Dealers, Agents, Invest Advis/Sales Persons**.
7. If you are submitting ink fingerprint cards, please check the box labeled, “**Fingerprint Card User**” and follow instructions.

Once the online registration is complete, the Applicant will need to take a copy of the registration confirmation to a local GEMALTO COGENT vendor to have his/her fingerprints electronically scanned. Locations and hours of operation may be found at the following link: <https://www.aps.gemalto.com/ga/index.htm> under the “Find A Fingerprint Location” tab.

GEMALTO COGENT will scan the Applicant’s fingerprints and submit the images to the State of Georgia. Results of the background check will be submitted directly to the Division.

## **II. Mailing Fingerprint Cards to GEMALTO COGENT For Applicants Using GEMALTO COGENT**

If there is no local GEMALTO COGENT vendor in your area, you must mail fingerprint cards directly to GEMALTO COGENT.

Paper fingerprint cards may be acquired, via mail, by emailing [Registrations@sos.ga.gov](mailto:Registrations@sos.ga.gov).

Requests for fingerprint cards **must** be initiated by the Applicant’s registering firm along with a current mailing address.

It is suggested that the Applicant submit three (3) fingerprint cards for processing. In the event of a rejection, the backup cards may be utilized. Any fingerprint card that does not meet the expected submission standards for quality will be returned to the Applicant, un-processed, with the Applicant’s payment.

**PLEASE NOTE:** You must register online with GEMALTO COGENT before mailing your fingerprint cards to GEMALTO COGENT. (See instructions in ITEM 1). You must include the Registration ID (obtained online during registration) on the back of the fingerprint card.

All paper fingerprint cards and payment must be sent directly to:

**Gemalto Cogent, Georgia CardScan  
639 N Rosemead Blvd  
Pasadena, CA 91107**

**Payment:** Please make all payments to GEMALTO COGENT. GEMALTO COGENT only will accept a money order or cashier’s check. Fingerprints will not be processed without payment.

## **III. Information For Applicants With Fingerprints On File With FINRA**

If the Applicant’s fingerprints were previously submitted to FINRA in connection with federal or state licensing, **and the prints on file with FINRA are not older than one (1) year**, the Commissioner may review and rely upon the criminal history reported pursuant thereto.

The Commissioner has determined that an Applicant seeking registration as an RA is not required to submit fingerprints if he/she is **actively registered** with Georgia **and** with FINRA as an AG at the same member firm (which has the same CRD number) as long as the fingerprints on file with FINRA **are not older than one (1) year**.

If the firm for which the Applicant is seeking RA registration is **affiliated with a FINRA member firm**, but the firms have different CRD numbers, the Applicant is subject to the fingerprint requirements. Should this Applicant seeking registration as an RA have fingerprints on file with FINRA though his/her **active** Georgia AG registration with the affiliated FINRA firm, and those prints on file with FINRA **are not older than one (1) year**, the Applicant may elect to submit a written request that the Division rely on those prints. **The granting of this request is at the discretion of the Commissioner.**

*\*A fingerprint reliance letter template may be obtained by emailing, [Registrations@sos.ga.gov](mailto:Registrations@sos.ga.gov)\**